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L13 and (pric\$ with transaction)	2

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Search History

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DB=PGPB,USPT,USOC,EPAB,JPAB,DWPI,TDBD; THES=ASSIGNEE; PLUR=YES;

OP=OR

<u>L6</u>	('US 5682482A' '5682482' '5630127' 'US 5630127A') [ABPN1,NRPN,PN,TBAN,WKU]	4	<u>L6</u>
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<u>L2</u>	707/1,2,3,4,104.1.ccls.	16215	<u>L2</u>
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File: USPT

Nov 16, 1993

US-PAT-NO: 5262942

DOCUMENT-IDENTIFIER: US 5262942 A

TITLE: Financial transaction network

DATE-ISSUED: November 16, 1993

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Earle; Dennis M.	Secaucus	NJ		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Bankers Trust Company	New York	NY			02

APPL-NO: 07/533649 [\[PALM\]](#)

DATE FILED: June 5, 1990

INT-CL-ISSUED: [05] G06F 15/20, G06G 7/52

US-CL-ISSUED: 364/408; 395/925

US-CL-CURRENT: 705/37; 705/35, 706/925

FIELD-OF-CLASSIFICATION-SEARCH: 364/408, 364/225, 364/918, 364/918.2, 364/918.9, 364/401, 395/925

See application file for complete search history.

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

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	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>4334270</u>	June 1982	Towers	364/408
<input type="checkbox"/>	<u>4823265</u>	April 1989	Nelson	364/408
<input type="checkbox"/>	<u>4903201</u>	February 1990	Wagner	364/408
<input type="checkbox"/>	<u>4953085</u>	August 1990	Atkins	364/408
<input type="checkbox"/>	<u>5101353</u>	March 1992	Lupien et al.	364/408
<input type="checkbox"/>	<u>5126936</u>	June 1992	Champion et al.	364/401
	<u>5132899</u>	July 1992	Fox	364/408



OTHER PUBLICATIONS

"Software Packages Assist Diverse Needs of Bond Portfolio Managers", Wall Street Computer Review, Jun. 1985, pp. 61-65.

ART-UNIT: 231

PRIMARY-EXAMINER: Envall, Jr.; Roy N.

ASSISTANT-EXAMINER: Brutman; Laura

ATTY-AGENT-FIRM: Sughrue, Mion, Zinn Macpeak & Seas

ABSTRACT:

A financial transaction network employs a shareholder network serviced by a host processor. The financial network maintains (n) number of mutual fund portfolios operating in different currencies. The host processor acts a communications switch validating incoming transaction requests and routing them to a central Transfer Agent system for execution. The host processor maintains central records that can be queried through the host. The Transfer Agent is responsible for updating the database. The financial network provides accessibility, speed and finality of settlement in transactions by using mutual fund shares in diverse currencies as substitutes for those currencies.

23 Claims, 10 Drawing figures

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L14: Entry 2 of 2

File: USPT

Nov 16, 1993

DOCUMENT-IDENTIFIER: US 5262942 A

TITLE: Financial transaction network


Application Filing Date (1):19900605DATE ISSUED (1):19931116Detailed Description Text (28):

If sufficient funds have been received, the flow passes to functional block 8. The Purchase transaction is tagged by the system as approved and time-stamped. Approved transactions are released to the Transfer Agent system 114 work queue at the next scheduled pricing period. At functional block 9, the Transfer Agent system accesses the next approved transaction on a first-in basis, issues the appropriate number of shares based on the current pricing and posts information to the shareholder's account.

Detailed Description Text (49):

If sufficient shares are received within the specified period, the CSA 110 will tag the receive and redeem transaction as approved, time stamp the transaction and release approved transactions to the Transfer Agent system 114 at the next pricing period. The Transfer Agent system at block 51 will redeem the shares now in the shareholder's account and post that information to the shareholder account by updating the database 112. The CSA system also receives an indication that the transaction has been executed, and the shareholder receives both electronic confirmation sent to his mailbox and identical hardcopy generated by the Transfer Agent system. The Transfer Agent system completes the chain by netting purchases with redemptions and sending net investment information to the Fund Accountant.

Current US Cross Reference Classification (1):705/35[Previous Doc](#)[Next Doc](#)[Go to Doc#](#)

 PALM Intranet

Application Number

IDS Flag Clearance for Application

**IDS
Information**

Content	Mailroom Date	Entry Number	IDS Review	Reviewer
M844	08-21-2000	8	<input checked="" type="checkbox"/>	06-14-2001 12:41:03 EXPO- CONV